



ARIZONA DEPARTMENT OF TRANSPORTATION



HIGHWAYS DIVISION

206 South Seventeenth Avenue - Phoenix, Arizona 85007-3213

FIFE SYMINGTON
Governor

GARY K. ROBINSON
State Engineer

LARRY S. BONINE
Director

March 1, 1994

Engineering Consultants Services

INFORMATION BULLETIN 93-18

TO: CONSULTANTS

FROM: ENGINEERING CONSULTANTS SERVICES *Ron 3-1-94*

SUBJECT: CONSULTANT EVALUATION PROGRAM

Find attached information in regards to the evaluation of consultants for contracts administered through Engineering Consultants Section. The new Consultant Evaluation Program went into effect on February 25, 1994

If you have any questions regarding this issue, please call Ron Thomas at (602) 255-7343.

RET/ret

attachments

3511/90

**DESIGN CONSULTANT
EVALUATIONS**

ARIZONA DEPARTMENT OF TRANSPORTATION

OFFICE MEMO

(DATE)

TO: _____
ADOT PROJECT MANAGER

FROM: RON THOMAS
Contract Manager
Engineering Consultants Section

RE: CONSULTANT EVALUATION PROGRAM -- DESIGN CONSULTANT

Please find attached information in regards to the evaluation of consultants for contracts administered through Engineering Consultants Section, as well as, copies of the MANDATORY CONSULTANT EVALUATIONS, which you are to complete as follows:

1. Complete the appropriate Consultant Evaluation Form 5 days after all major design submittal review issues have been resolved.
2. Make three copies of the evaluation. Transmit the original to the Consultant. The transmittal letter should be on agency letterhead, filling in the blanks as appropriate (see sample).
3. Send one copy each to the Contract Manager and the Contract Specialist in Engineering Consultants Section and keep one copy for your own contract/project files.

If you have any questions or wish to set up an appointment to discuss this, please contact me at (602) 255-7125. Thank you for your cooperation and assistance.

Attachment

Rev. 01-10-94

(B2.97.2)

ENGINEERING CONSULTANTS SECTION

CONSULTANT EVALUATION PROGRAM (DESIGN)

January 1994

The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager (ADOT or Management Consultant), the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

1. project schedule, cost, and quality of design and construction are attainable, and
2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices during construction. The evaluations are reviewed and logged by ADOT Engineering Consultants Section (ECS). The log is reviewed monthly, or more frequently if necessary, to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a design consultant:

1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (design, construction administration, etc.) and a recommended schedule of filing dates.
2. Sample Transmittal Letter.
3. Copies of the evaluation forms developed by ECS and the SPAP Committee. Note: Some Management and General Consultants have developed their own forms for the evaluation program. Prior to their use, they must be reviewed and approved by ECS.

PHASING AND EVALUATION SCHEDULE
FOR DESIGN PROJECTS

On consultant design contracts, the project design milestones are after the Initial (30%), Preliminary (60%), and Final (100%) design submittals. Contract Constructibility will also be evaluated by District personnel. Evaluations at these milestones provide indications of how the design is progressing and what steps have been taken to assure effective and efficient practices during construction. The evaluations should be completed after all major issues of a design submittal have been resolved. When this schedule is followed the evaluation document is an extension of the design submittal review process.

It is recommended that the letter of transmittal to the design consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Initial Design Submittal (30%)	5 DAYS after all major design submittal review issues have been resolved
Preliminary Design Submittal (60%)	5 DAYS after all major design submittal review issues have been resolved
Final Design Submittal (100%)	5 DAYS after all major design submittal review issues have been resolved
Contract Constructibility (District form will be used)	5 days after construction is complete and project has been accepted.

Notes: 1. A design submittal evaluation should not be more than six (6) weeks after the design submittal date.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

"Above Average" rating is for superior performance which exceeds the Scope of Services without additional costs to the Department. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

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(B2.97.4)

EVALUATION MEASUREMENTS/COMMENTS
(Continued)

"Average" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"Below Average" rating is for performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for "Above Average", "Below Average" and "Does Not Meet" ratings.

SAMPLE TRANSMITTAL LETTER
PROJECT MANAGER TO CONSULTANT

Mr. (Consultant Name)
(Consultant Title)
(Firm Name)
(Address1)
(Address2)

RE: CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX)
(Project Location)
(Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the project completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

Sincerely,

(Project Manager's Name)
(Project Manager's Title)

c: ADOT ECS (2)

Enclosure

Rev. 01-10-94

(B2.97.6)

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

INITIAL DESIGN PHASE

Contract No.: _____-_____ TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project limits: _____

Project description: _____

Consultant firm: _____

Consultant office location: _____

Subconsultant firm(s): _____ Area of responsibility: _____

Consultant Project Manager: _____

ADOT/MC/GC Project Manager: _____

Project Manager Section: _____

Milestone dates for Initial Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

A. ENGINEERING DESIGN PERFORMANCE

1. Attitude and Cooperation: _____

2. Required Submittals/Activities:

REQUIREMENTS
MEETS DOES NOT MEET

a. Environmental report	_____	_____
b. Prelim. drainage report	_____	_____
c. Bridge structure selection report	_____	_____
d. Traffic analysis and report	_____	_____
e. Geotechnical report	_____	_____
f. Initial materials design memorandum	_____	_____
g. Survey and mapping	_____	_____
h. Initial cost estimate	_____	_____
i. Permit application(s)	_____	_____
j. Public meeting(s)	_____	_____
k. _____	_____	_____

Additional comments: _____

3. Initial Design Submittal
(30% Complete)

REQUIREMENTS
MEETS DOES NOT MEET

a. Horizontal & Vertical Alignment	_____	_____
b. Initial R/W requirements	_____	_____
c. Utility Identifications	_____	_____
d. Intersection and interchange layouts	_____	_____

3. Initial Design (Continued)

REQUIREMENTS
MEETS DOES NOT MEET

e. Typical roadway sections

f. Cross-sections

g. _____

Additional comments: _____

B. OVERALL RATING OF CONSULTANT FOR THIS PHASE

ABOVE
AVERAGE

AVERAGE

BELOW
AVERAGE

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____ Date
MC/GC Project Manager

_____ on _____ Date
ADOT Project Manager

EVALUATION APPROVAL

_____ on _____ Date
ADOT Section Manager

Copies of this evaluation were submitted to Contract Manager, ADOT

Engineering Consultants Section on _____ Date

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

PRELIMINARY DESIGN PHASE

Contract No.: _____-_____ TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project limits: _____

Project description: _____

Consultant firm: _____

Consultant office location: _____

Subconsultant firm(s): _____ Area of responsibility: _____

Consultant Project Manager: _____

ADOT/MC/GC Project Manager: _____

Project Manager Section: _____

Milestone dates for Preliminary Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

A. ENGINEERING DESIGN PERFORMANCE

1. Attitude and Cooperation: _____

2. Required Submittals/Activities:

	<u>REQUIREMENTS</u>	
	MEETS	DOES NOT MEET
a. Prelim. permit applications	_____	_____
b. R/W requirements	_____	_____
c. Environmental reports	_____	_____
d. Design notes & computations	_____	_____
e. Progress meetings/minutes	_____	_____
f. Draft special provisions	_____	_____
g. Prelim. quantity take-off	_____	_____
h. Preliminary cost estimate	_____	_____
i. Value engineering	_____	_____
j. Final drainage report	_____	_____
k. Field review	_____	_____
l. _____	_____	_____

Additional comments: _____

3. Preliminary Design Submittal
(60% Complete)

	<u>REQUIREMENTS</u>	
	MEETS	DOES NOT MEET
a. Incorporation of previous review comments	_____	_____
b. Final materials design memorandum	_____	_____
c. Typical roadway sections	_____	_____
d. Plan and profile sheets	_____	_____

3. Preliminary Design (Continued)

REQUIREMENTS
MEETS DOES NOT MEET

e. Drainage plans	_____	_____
f. Environmental permit applications	_____	_____
g. Intersection and interchange layouts	_____	_____
h. Major structure plans	_____	_____
i. Preliminary traffic control plans	_____	_____
j. Landscape plans	_____	_____
k. Traffic signing and signal plans	_____	_____
l. Pavement marking plans	_____	_____
m. Lighting plans	_____	_____
n. Cross sections	_____	_____
o. NPDES (Erosion Control Plan)	_____	_____
p. Utility relocation plans	_____	_____
q. Constructability	_____	_____
m. _____	_____	_____

Additional comments: _____

B. OVERALL RATING OF CONSULTANT FOR THIS PHASE

ABOVE BELOW
AVERAGE AVERAGE AVERAGE

_____ _____ _____

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
MC/GC Project Manager Date

_____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

_____ on _____
ADOT Section Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT
Engineering Consultants Section on _____.
Date

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

FINAL DESIGN PHASE

Contract No.: _____ - _____ TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project limits: _____

Project description: _____

Consultant firm: _____

Consultant office location: _____

Subconsultant firm(s): _____ Area of responsibility: _____

Consultant Project Manager: _____

ADOT/MC/GC Project Manager: _____

Project Manager Section: _____

Milestone dates for Final Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

A. ADMINISTRATIVE PERFORMANCE

COMMENTS

1. Assigned project team _____
 2. Contract costs _____
 3. Progress reports _____
 4. Changes in subconsultants
or key project staff _____
 5. Partnering _____
 6. TQM _____
 7. Attitude and Cooperation _____
 8. Responsiveness _____
 9. Coordination between
disciplines, phases, and
outside parties _____
- Additional Comments: _____
- _____
- _____
- _____

B. ENGINEERING DESIGN PERFORMANCE

Final Design Submittal
(100% Complete)

	<u>REQUIREMENTS</u>	
	MEETS	DOES NOT MEET

- | | | |
|--|-------|-------|
| a. Incorporation of previous review comments | _____ | _____ |
| b. Complete set of sealed contract
document originals | _____ | _____ |
| c. Complete reproducible set of special
provisions/bidding schedule | _____ | _____ |
| d. Complete set of R/W plans | _____ | _____ |
| e. Final and complete quantity
summaries/cost estimate | _____ | _____ |
| f. Final design calculations | _____ | _____ |
| g. Final survey computations and field books | _____ | _____ |

B. ENGINEERING DESIGN PERFORMANCE (Continued)

REQUIREMENTS
MEETS DOES NOT MEET

h. Environmental permits
support documentation

i. _____

Additional comments: _____

C. OVERALL RATING OF CONSULTANT FOR THIS PHASE

ABOVE
AVERAGE AVERAGE BELOW
AVERAGE

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
MC/GC Project Manager Date

_____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

_____ on _____
ADOT Section Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT

Engineering Consultants Section on _____
Date

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF SUBCONSULTANT

PHASE

Contract No.: _____ - _____ Subconsultant: _____

Area of Responsibility: _____

A. REQUIRED SUBMITTALS/ACTIVITIES

REQUIREMENTS
MEETS DOES NOT MEET

a. _____	_____	_____
b. _____	_____	_____
c. _____	_____	_____
d. _____	_____	_____
e. _____	_____	_____
f. _____	_____	_____

Additional comments: _____

B. OVERALL RATING OF SUBCONSULTANT

ABOVE
AVERAGE AVERAGE BELOW
AVERAGE AVERAGE AVERAGE

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____.
ADOT Project Manager Section Date

**GENERAL CONSULTANT
EVALUATIONS**

ARIZONA DEPARTMENT OF TRANSPORTATION

OFFICE MEMO

(DATE)

TO: _____
ADOT PROJECT MANAGER

FROM: RON THOMAS
Contract Manager
Engineering Consultants Section

RE: CONSULTANT EVALUATION PROGRAM -- GENERAL CONSULTANT

Please find attached information in regards to the evaluation of consultants for contracts administered through Engineering Consultants Section, as well as, copies of the MANDATORY CONSULTANT EVALUATIONS which you are to complete as follows:

1. Complete the Consultant Evaluation Forms periodically as required by the project for the prime consultant and any subconsultants involved in that time frame. It is recommended that a general consultant is evaluated every six months.
2. Make three copies of the evaluation. Transmit the original to the Consultant. The transmittal letter should be on agency letterhead, filling in the blanks as appropriate (see sample).
3. Send one copy each to the Contract Manager and the Contract Specialist in Engineering Consultants Section and keep one copy for your own contract/project files.

If you have any questions or wish to set up an appointment to discuss this, please contact me at (602) 255-7125. Thank you for your cooperation and assistance.

Attachment

Rev. 01-10-94

(B2.97.18)

ENGINEERING CONSULTANTS SECTION

CONSULTANT EVALUATION PROGRAM
(GENERAL)

January 1994

The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager (ADOT or Management Consultant), the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

1. project schedule, cost, and quality of design and construction are attainable, and
2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices. The evaluations are reviewed and logged by ADOT Engineering Consultants Section (ECS). The log is reviewed monthly, or more frequently if necessary, to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a general consultant:

1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (on-call, supplemental services, research, construction administration, etc.) and a recommended schedule of filing dates.
2. Sample Transmittal Letter.
3. Copies of the evaluation forms developed by ECS and the SPAP Committee.

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(B2.97.19)

PHASING AND EVALUATION SCHEDULE
FOR GENERAL CONSULTANTS

On on-call, supplemental services, research, etc., the period of evaluation of the consultant is left to the discretion of the Project Manager. Where projects are numerous and of short duration, the Project Manager may choose to evaluate the consultant every six months; where the consultant will be working on a small number of longer duration projects, the Project Manager may choose to evaluate the consultant after each project is completed.

It is recommended that the consultant is evaluated every six months and that the letter of transmittal to the consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Periodic Evaluation *	Left to the discretion of the Project Manager.
Contract Renewal *	Must be submitted with the Project Manager's request to extend the contract.
Contract Completion *	After contract is complete.

* Note: Indicate on the form provided the type of evaluation.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

"Above Average" rating is for superior performance which exceeds the Scope of Services without additional costs to the Department. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

"Average" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"Below Average" rating is for performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for "Above Average", "Below Average" and "Does Not Meet" ratings.

SAMPLE TRANSMITTAL LETTER
PROJECT MANAGER TO CONSULTANT
(GENERAL)

Mr. (Consultant Name)
(Consultant Title)
(Firm Name)
(Address1)
(Address2)

RE: CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX)
(Project Location)
(Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the contract completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and/or contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

Sincerely,

(Project Manager's Name)
(Project Manager's Title)

c: ADOT ECS (2)

Enclosure

Rev. 01-10-94

(B2.97.21)

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF CONSULTANT

Contract No.: _____-_____

Type of Evaluation: ☐ Six Months ☐ Contract Final ☐ Other _____

Evaluation Period: Start Date _____
 End Date _____
 Date Evaluated _____

Services Provided: _____

Consultant firm: _____

Consultant office location: _____

Subconsultant firm(s):	Area of responsibility:
_____	_____
_____	_____
_____	_____

Consultant Project Manager: _____

ADOT/MC/GC Project Manager: _____

Project Manager Section: _____

A. PROJECT MANAGEMENT:

REQUIREMENTS
MEETS DOES NOT MEET

- | | | |
|--|-------|-------|
| 1. Communications | _____ | _____ |
| 2. Responsiveness | _____ | _____ |
| 3. Incorporation of Previous Review Comments | _____ | _____ |
| 4. Schedule Adherence | _____ | _____ |
| 5. Cooperation | _____ | _____ |
| 6. Attitude | _____ | _____ |

Additional comments: _____

B. TASK ACTIVITIES:

1. Submittals: _____

2. Areas of Strength: _____

3. Areas for Improvement: _____

C. OVERALL RATING OF CONSULTANT OF THIS EVALUATION:

ABOVE
AVERAGE AVERAGE BELOW
AVERAGE AVERAGE AVERAGE

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
MC/GC Project Manager Date

_____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

_____ on _____
ADOT Section Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT

Engineering Consultants Section on _____.
Date

ARIZONA DEPARTMENT OF TRANSPORTATION
HIGHWAYS DIVISION

PERFORMANCE EVALUATION OF SUBCONSULTANT

PHASE

Contract No.: ____-____ Subconsultant: _____

Area of Responsibility: _____

A. REQUIRED SUBMITTALS/ACTIVITIES

REQUIREMENTS
MEETS DOES NOT MEET

a. _____	_____	_____
b. _____	_____	_____
c. _____	_____	_____
d. _____	_____	_____
e. _____	_____	_____
f. _____	_____	_____

Additional comments: _____

B. OVERALL RATING OF SUBCONSULTANT

ABOVE
AVERAGE AVERAGE BELOW
AVERAGE

Additional comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____.
ADOT Project Manager Section Date